

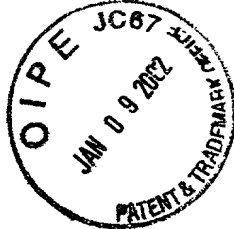


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/920,546	08/01/2001	Michael L. Roerick	EFTD-25,790

Roger N. Chauza  
HOWISON, CHAUZA, THOMA,  
HANDLEY & ARNOTT, L.L.P.  
P.O. Box 741715  
Dallas, TX 75374-1715



CONFIRMATION NO. 5942

## FORMALITIES LETTER



\*OC000000006557768\*

Date Mailed: 09/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

01/15/2002 AGOITOM 00000073 09920546

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65.00 OP

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Amelia manalac

Customer Service Center

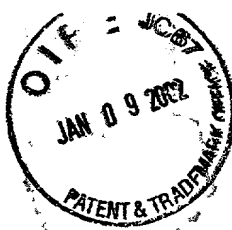
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

[illegible]

EFTD-25,790

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael L. Roerick  
Appl. No.: 09/920,546  
Filed: August 1, 2001  
Grp./A.U.: 2661  
Examiner: To Be Assigned  
Title: MESSAGE FORMAT FOR COMMUNICATING FINANCIAL  
INFORMATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on

November 2, 2001  
(Date of Deposit)

Roger N. Chauza  
(Name of Person Mailing Document)

*[Signature]*  
(Signature)

Nov. 2, 2001  
(Date of Signature)

**SUBMISSION OF MISSING PARTS  
OF APPLICATION UNDER 37 C.F.R. 1.53**

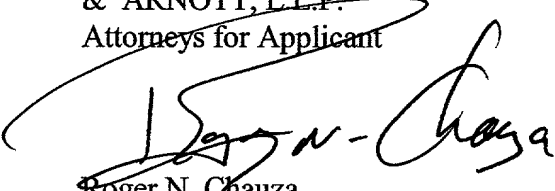
In response to the *Notice to File Missing Parts of Nonprovisional Application*, enclosed are the following items for filing in the above-referenced U.S. Patent Application:

1. Declaration and Power of Attorney, executed by the Applicant on September 27, 2001;
2. Copy of Form PTO-1533 - Notice to File Missing Parts of Nonprovisional Application- Part B - Formalities Letter - Confirmation No. 5942;
3. Copy of the Assignment to EFT DataLink, Incorporated, executed on September 27, 2001 and recordation cover sheet;
4. 10 sheets of formal drawings in compliance with 37 C.F.R. 1.84; and

**SUBMISSION OF MISSING PARTS**  
Atty. Dkt. No. EFTD-25,790  
S/N 09/920,546

5. A check in the total amount of \$105.00, to cover the surcharge set forth in 37 C.F.R. 1.16(e) of \$65, and the Assignment recordal fee of \$40. Please charge any additional fees or deficiencies in fees or credit any overpayment to Deposit Account No. 20-0780/EFTD-25,790 of HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.  
Attorneys for Applicant



Roger N. Chauza  
Registration No. 29,753

RNC:ljg

P.O. Box 741715  
Dallas, Texas 75374-1715  
Tele: 972-479-0462  
Fax: 972-479-0464  
November 2, 2001

**SUBMISSION OF MISSING PARTS**  
**Atty. Dkt. No. EFTD-25,790**  
**S/N 09/920,546**

Please type a plus sign (+) inside this box



#7  
Receipt  
#

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/920,546
Filing Date	August 1, 2001
First Named Inventor	Michael L. Roerick
Group Art Unit	2661
Examiner Name	To Be Assigned
Attorney Docket Number	EFTD-25,790

Total Number of Pages in This Submission 26

## ENCLOSURES (check all that apply)

- |  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)<br><input checked="" type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>(1) Request for corrected filing receipt<br>(2) Recordation cover sheet |
|--|--|--|

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

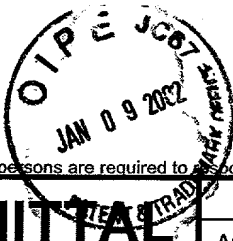
Firm or Individual name	HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.
Signature	
Date	Nov. 2, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: November 2, 2001

Typed or printed name	Roger N. Chauza
Signature	
Date	Nov. 2, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/920,546
Filing Date	August 1, 2001
First Named Inventor	Michael L. Roerick
Examiner Name	To Be Assigned
Group Art Unit	2661
Attorney Docket No.	EFTD-25,790

TOTAL AMOUNT OF PAYMENT (\$ ) 105.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 20-0780/EFTD-25,790  
Deposit Account Name: Howison, Chauza, et al.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

\*\*for number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	\$65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	\$40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 105.00

## SUBMITTED BY

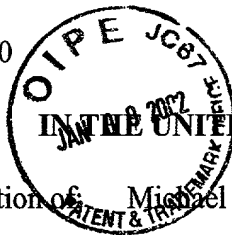
Name (Print/Type)	Roger N. Chauza	Registration No. (Attorney/Agent)	29,753	Telephone	972-479-0462
Signature		Date	NOV. 2, 2001		

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EFTD-25,790

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael L. Roerick

Serial No.: 09/920,546

Filed: August 1, 2001

Group: 2661

Examiner: Not Yet Assigned

For: MESSAGE FORMAT FOR COMMUNICATING FINANCIAL INFORMATION

Assistant Commissioner for

Patents

Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on

November 2, 2001

(Date of Deposit)

Roger N. Chauza

(Name of Person Mailing Document)

(Signature)

NOV. 2, 2001

(Date of Signature)

**TRANSMITTAL OF FORMAL DRAWINGS**

Transmitted herewith are 10 sheets of formal drawings to be substituted for the informal drawings initially filed in the above-identified application for patent.

Please charge any necessary fees or deficiencies in fees or credit any overpayment to Deposit Account No. 20-0780/EFTD-25,790 of HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.

Attorneys for Applicant

Roger N. Chauza

Registration No. 29,753

RNC:ljb

P.O. Box 741715

Dallas, Texas 75374-1715

Tel: 972-479-0462

Fax: 972-479-0464

November 2, 2001

**TRANSMITTAL OF FORMAL DRAWINGS**

Atty. Dkt. No. EFTD-25,790

S/N 09/920,546